



PTO/SB/21 (09-04) (AW 10/2004)

Approved for use through 7/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE  
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.AF  
JFW**TRANSMITTAL  
FORM**

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

Application Number	10/624,062
Filing Date	July 21, 2003
First Named Inventor	Jeffrey Hutchinson
Art Unit	1761
Examiner Name	Thuy Tran Lien
Attorney Docket No.	RWB-040US1

**ENCLOSURES (Check all that apply)**

- |  |  |  |
|--|--|--|
| <input type="checkbox"/> Fee Transmittal Form<br><input type="checkbox"/> Fee Attached<br><br><input type="checkbox"/> Amendment/Reply<br><input type="checkbox"/> After Final<br><input type="checkbox"/> Affidavits/Declaration(s)<br><br><input type="checkbox"/> Extension of Time Request<br><br><input type="checkbox"/> Express Abandonment Request<br><br><input type="checkbox"/> Information Disclosure Statement<br><br><input type="checkbox"/> Certified Copy of Priority Document(s)<br><br><input type="checkbox"/> Response to Missing Parts/<br>Incomplete Application<br><input type="checkbox"/> Response to Missing Parts<br>under 37 CFR 1.52 or 1.53 | <input type="checkbox"/> Drawing(s)<br><br><input type="checkbox"/> Licensing-related Papers<br><br><input type="checkbox"/> Petition<br><br><input type="checkbox"/> Petition to Convert to a<br>Provisional Application<br><br><input type="checkbox"/> Power of Attorney, Revocation,<br>Change of Correspondence<br>Address<br><br><input type="checkbox"/> Terminal Disclaimer<br><br><input type="checkbox"/> Request for Refund<br><br><input type="checkbox"/> CD, Number of CD(s) _____<br><input type="checkbox"/> Landscape Table on CD | <input type="checkbox"/> After Allowance Communication<br>to TC<br><br><input type="checkbox"/> Appeal Communication to Board<br>of Appeals and Interferences<br><br><input checked="" type="checkbox"/> Appeal Communication to TC<br>(Appeal Notice, Brief, Reply<br>Brief)<br><br><input type="checkbox"/> Proprietary Information<br><br><input type="checkbox"/> Status Letter<br><br><input checked="" type="checkbox"/> Other Enclosure(s) (please<br>identify below):<br><br>Return Postcard |
|--|--|--|

**Remarks:****SIGNATURE OF APPLICANT, ATTORNEY OR AGENT**

Firm Name	RatnerPrestia		
Signature			
Printed Name	Frank P. Tise		
Date	October 16, 2006	Registration No.	50,379

**CERTIFICATE OF TRANSMISSION / MAILING**

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below:

Signature			
Typed or Printed Name	Gayle D. Bay	Date	October 16, 2006

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Office, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, ALEXANDRIA, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



RWB-040US1

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Appln. No: 10/624,062  
Applicant: Jeffrey Hutchinson  
Filed: 07/21/2003  
Title: METHOD AND APPARATUS FOR PRODUCING A DOUGHNUT  
TC/A.U.: 1761  
Examiner: Thuy Tran Lien  
Notice of Appeal Filed: 03/30/2003  
Docket No.: RWB-040US1

SUBSTITUTE APPEAL BRIEF UNDER 37 C.F.R. § 41.37

Mail Stop Appeal Brief-Patents  
Commissioner for Patents  
P. O. Box 1450  
Alexandria, VA 22313-1450

S I R :

Appellant hereby requests consideration and reversal of the Final Rejection dated 10/31/2005, and the Advisory Action dated 03/09/2006, of claims 1-9 and 11-22.

This substitute Brief is presented in the format required by 37 C.F.R. § 41.37, in order to facilitate review by the Board following receipt of Notification of Non-Compliant Appeal Brief dated 09/15/2006. The fees for filing a Brief in support of an Appeal under 37 C.F.R. § 41.20(b)(2), together with a petition for one month extension and the extension fee required in connection with the filing of this Brief, were provided at the time of filing of the original brief.

I. REAL PARTY IN INTEREST

The real Party In Interest in this matter is Donuts and Company Limited of London, England by virtue of assignments recorded on 07/21/2003 and 12/22/2003, at Reel/Frame 014296/0634 and 014810/0987 respectively.

II. RELATED APPEALS AND INTERFERENCES

There are no related appeals or interferences related to the subject matter of this Appeal.

### III. STATUS OF CLAIMS

Claims 1-9, 11-12, and 15-20 stand rejected under 35 U.S.C. § 103(a) as obvious over WO 98/30105, hereinafter Lonergan al., in view of United States patent No. 5,130,150 hereinafter Averbach. Claims 1 and 15 are independent claims. The rest depend either directly or indirectly therefrom.

Claims 13, 14, 21 and 22 stand rejected under 35 U.S.C. § 103 as obvious over Lonergan et al. in view of Averbach and further in view of U.S. Pat. No. 5,804,243, hereinafter Loh et al. Claims 13, 14, 21 and 22 are all dependent claims, claims 13 and 14 depending from claim 1 and claims 21 and 22 depending from claim 15.

### IV. STATUS OF AMENDMENTS

This application, filed on 07/21/2003, is a continuation in part application of Serial number 09/734,094 now abandoned, and claims priority from UK application serial number GB 0005340.5 filed on 03/07/2000, now UK patent Number GB-2,359,975 and allowed corresponding EP Serial # 00968142.0.

No amendments have been filed after final rejection. As filed, on 07/21/2003, the subject application had 22 total claims. Among those claims were two independent claims, namely, claims 1 and 15. Claims 2-14 each depended directly or indirectly from claim 1, and claims 16-22 each depended directly or indirectly from claim 15, and thus all of claims 2-14 and 16-22 depended ultimately from claims 1 or 15 respectively.

A first Office Action, dated 03/22/2005, rejected claim 8 under 35 U.S.C. § 112, 2d paragraph because the word "onto" was missing in front of the words "said baked dough".

In the same Office Action, claims 1-12 and 15-20 were rejected under 35 U.S.C. § 103(a) as unpatentable over Lonergan et al. in view of Averbach; Claims 13-14 and 21-22 were rejected under 35 U.S.C. § 103(a) as unpatentable over Lonergan et al in view of Averbach and further in view of Loh et al.

Appellant filed a Response to the first Office Action on 08/19/2005. The Response amended independent claims 1 and 15 by incorporating the limitation of claim 10 to further distinguish the claimed invention from the cited references, amended claim 8 to overcome the § 112, 2d paragraph rejection and cancelled claim 10.

In the 08/19/2005 Response, Appellant objected to the proposed combination of art used by the Examiner and the conclusions drawn by the Examiner from such combination as both factually incorrect and legally improper. Appellant also provided detailed remarks regarding the scope and teachings of the applied art, specifying the limitations in the amended claims which are not taught, described, or suggested in the art relied on in the rejection, and explained how and why such limitations render the claimed subject matter patentable over the cited art.

A second, final Office Action was issued on 10/31/2005.

The final Office Action withdrew the rejection of claim 8 under 35 U.S.C. 112, 2d paragraph but maintained the rejection of claims 1-9 and 11-22 under 35 U.S.C. 103(a) in view of Lonergan et al., Averbach and Loh et al. for substantially the same reasons set forth in the previous action.

Appellant requested and was granted an interview with the Examiner. The interview occurred on February 9, 2006 and was attended by one of the inventors, Mr. Kevin T. Rogers and Appellant's attorney, Mr. Krikelis. At the interview, Mr. Rogers provided further detailed remarks specifying the limitations in the amended claims which are not taught, described, or suggested in the applied art, and explained how and why such limitations render the claimed subject matter patentable over the cited art. Mr. Rogers discussed the significance of the term "proven" used in the claim limitations in relation to the Lonergan patent use of the term "proof". Mr. Krikelis pointed out why in his opinion the cited art did not make a prima facie case of obviousness even if one were to accept the Examiner's position that the combination of references was proper. No amendments were offered during the interview and no agreement was reached, other than that the Examiner would reconsider her position on the issue of obviousness of the process claims (claims 1-9)

if Appellant would file a request for reconsideration setting forth certain argument presented<sup>1</sup> during the interview.

Such Request for Reconsideration was filed on February 15, 2006.

An Advisory Action was issued on 03/09/2006, stating that the request for reconsideration in the Response to the final Office Action had been considered but had not placed the application in condition for allowance because the reference (Silva et al) used by the Attorney during the interview and in the request for reconsideration disclosed a different glazing composition from Averbach and therefore was insufficient to support the Appellant's position. The Examiner reiterated her previous arguments.

A notice of appeal was filed on March 30, 2006.

#### V. SUMMARY OF INVENTION

Commercially there are two broad categories of doughnuts: cake doughnuts and yeast raised doughnuts, classified as such because of the different dough recipes used. (Specification page 1 lines 16-18) Cake doughnuts use baking powder to form a batter that is then fried in hot oil, while yeast raised doughnuts use yeast enzymes to form a dough that must be "proven" before frying. (Specification page 1 line 25 through page 2 line 16 and Loh et al, column 1 lines 14-23). Cake doughnuts, as the name indicates have a cake like texture and taste. Yeast raised doughnuts on the other hand, have a crispy outer layer and fluffy interior. (Specification, page 1 line 21) Unfortunately the frying step which gives the yeast raised doughnut its desirable taste attributes, also causes the doughnut to absorb and retain a substantial amount of fat. (Specification page 10 lines 20-24)

In its broader aspect, the present invention produces a yeast raised doughnut by replacing the prior art frying step with the following three step process (Specification page 4 lines 8-19 and page 10, lines 6-8) :

---

<sup>1</sup> During the interview Appellant argued that U.S. 4,243,572 Silva et al, a reference of record but not applied, showed that contrary to the Examiner's unsupported position, the person skilled in the art would not choose to apply the coating taught in Averbach while the doughnut was still warm from the baking step as claimed.

- (1) after proofing the dough, applying to the proven dough a coating comprising a cooking fat,
- (2) baking the coated proven dough in an oven and
- (3) applying a second coating of a cooking fat to the baked dough exiting from the oven while the dough it is still warm.

It has been surprisingly found that a baked yeast-raised doughnut has similar texture and taste as a deep fried yeast raised doughnut, provided an edible fat is applied to the doughnut surface in two distinct steps: before baking, and after baking while the doughnut is still warm, as disclosed and claimed. Because the dough has not been fried, the final product contains less fat. (Specification page 10 lines 20-24)

VI. GROUNDS OF REJECTION TO BE REVIEWED ON APPEAL

(A) Claims 1-12 and 15-20 stand rejected under 35 U.S.C. § 103(a) as unpatentable over Lonergan et al. in view of Averbach;

The two independent claims 1 and 15 represent the broadest aspects of this invention. Claim 1 is a process claim for making yeast raised doughnuts without frying and claim 15 is a product by process claim, directed to the low fat yeast raised doughnuts produced by the process of claim 1. .

It is the Examiner's position that Lonergan et al. teach a process for giving any dough a fried taste, including dough used for making yeast raised doughnuts, by spraying the dough with an edible fat prior to baking.

The Examiner acknowledges that Lonergan et al. do not teach or suggest a post baking, second fat application, however it is the Examiner's position that such second fat application is shown in Averbach, whose teachings are directed to the application of an edible composition of wax and fat onto a cooked yeast raised doughnut to form a moisture barrier layer to increase the shelf life of the doughnut.

(B) Dependent claim 2 and independent claim 15 include the further limitation that the applied fat "consists essentially of a cooking fat or a combination of cooking fats".

The Examiner argues that the term "consists essentially of" used in the claim is equivalent to the term "comprises" and that this does not help distinguish the prior art because the specification or claims lack a clear indication of what the basic and novel characteristics actually are, and that, if the Appellant "contends that additional materials in the prior art are excluded by the recitation of 'consisting essentially of', applicant has the burden of showing that the introduction of the additional components would materially change the characteristics of applicant's invention." (See 10/31/05 Office action, page 5 lines 1-6).

(C) Claims 13-14 and 21-22 stand rejected under 35 U.S.C. § 103(a) as unpatentable over Lonergan et al in view of Averbach in view of U.S. Pat. No. 5,804,243 hereinafter Loh et al.

Claims 13, 14, 21 and 22 include the additional step of steam application during the baking cycle. Such step being absent in Lonergan et al. or Averbach the Examiner reaches to Loh et al. Loh et al. teaches the application of steam during baking when making cake doughnuts. According to the rejection, it would be obvious to the person skilled in the art to apply steam during the baking cycle of the yeast raised doughnut knowing that steam may be used in making cake doughnuts.

## VII. ARGUMENT

### **(A) Rejection of claims 1 and 15 under 35 U.S.C. § 103(a) over of Lonergan et al. in view of Averbach.**

For the following three reasons, Appellant traverses the Examiner's selection and interpretation of the teachings of Lonergan et al and Averbach, and the conclusions drawn from such interpretation as unsupported by the references.

**(1) Failure to consider the invention as a whole.**

It is well established that in determining whether an invention is novel and non-obvious, the claimed invention must be considered as a whole. (*In re Paulsen*, 31 USPQ2d 1671, Fed. Cir. 1994).

The disclosed and claimed invention is a process that replaces the prior art frying step used in making yeast raised doughnuts by a baking process. As a result less fat is absorbed by the doughnut during the cooking cycle and a lower fat content yeast raised doughnut is produced having similar texture and taste as the traditionally made yeast raised doughnuts. Specifically as claimed in the broadest claim the frying step is replaced by the following sequence of operations following proofing the dough:

the proven dough is coated with a first coating comprising cooking fat or mixture of cooking fats before baking;

the proven and coated dough is baked in an oven; and

the dough coming out of the oven and while still warm, is again coated with a second coating comprising a cooking fat or mixture of cooking fats to produce the claimed low fat doughnut.

Independent claim 15 claims the resulting low fat yeast raised doughnut produced.

Lonergan et al discloses a process for creating a crisp dough when baking frozen pizzas. However Lonergan et al do provide one sentence in which they mention that the process is also applicable to other dough material including inter alia doughnuts. No details how this is to be done are provided.

Relying on this passing reference to doughnuts, and ignoring the totally different glaze composition which includes agents to keep the applied coating on the surface of the dough, the Examiner uses Lonergan et al. as the primary reference to show that applying a coating comprising cooking fat to yeast raised doughnut dough and subsequently baking the dough renders the dough crisp (and therefore mimics frying). According to the Examiner, Lonergan et al teach the claimed step of



applying a first cooking fat to the yeast raised proven dough prior to baking the dough, followed by baking the dough. Therefore the Examiner concludes, it is known to perform the steps of applying a coating of an edible cooking fat onto a proven dough prior to a baking step in order to obtain a product that tastes fried.

However, as explained in Lonergan et al, page 8 last paragraph and first two lines on top of page 9, *"Thus the glaze of the present invention mimics the effects of frying during baking by maintaining excess heated oil on the surface of the dough during baking, so that the crust effectively 'fries' in the oven and produces a baked product with fried organoleptic quality, which mimics the taste and texture of fresh fried products."* In effect, when fully considered, Lonergan et al teach a process whereby a particular glaze may be applied to the surface of dough with a viscosity such that the composition stays on the surface so that it can actually fry the dough when the dough is heated in an oven.

Lonergan et al do not teach or suggest a post baking cooking fat application to achieve the texture and taste of a yeast raised fried doughnut.

In selecting Averbach to establish that the post baking application of an edible cooking fat to the baked dough is also known, the Examiner splits the process steps without regard to the invention as a whole.

Averbach teaches applying a glaze containing a fat and a wax to cooked yeast raised doughnuts selected for the express purpose of preserving freshness of stored doughnuts by forming a continuous sealing layer over the doughnut surface. Averbach is silent as to when this glaze is applied except that it is applied to fully cooked doughnuts to preserve their freshness.

Averbach has nothing to do with the claimed invention when considered as a whole. Averbach's process begins with a fully cooked yeast raised doughnut that already has the proper desired texture and taste of the fried yeast raised doughnut. Averbach's teachings are then directed to how to create a continuous moisture barrier over the cooked doughnut surface without altering its texture and taste. The present invention uses a post baking coating applied at a particular time during the cooking cycle on the baked doughnut surface (a surface that has already been pre-

coated with first layer of cooking fat before baking) in order to change the texture and taste of the product exiting the oven.

Appellant believes that the Examiner is in error in using the Lonergan et al and Averbach references to support a case of obviousness because each of the applied references discloses different processes, solve different problems, and achieve results that are different from the results obtained when the full process is practiced.

In order to make a finding under 35 U.S.C. § 103 the Examiner must determine what is proper prior art. Prior art determination is not a mechanical process whereby if a reference contains a couple of magic words, the reference may be properly applied. Whether art is indeed prior art and what it teaches, is a fact question and both the art and the invention must be viewed as a whole. Thus if a reference disclosure has the same purpose as the claimed invention, the reference relates to the same problem, the inventor may well have been motivated to consider the reference when making the invention. However if it is directed to a different purpose, the inventor would have had less motivation to consider it. (*In re Clay*, 23 USPQ2d 1058 Fed. Cir. 1992).

The problem addressed and solved by this invention is how to make a yeast raised doughnut without frying the dough thereby reducing the amount of fat absorbed in the dough, and do so without changing the taste and texture of the finished product. The solution offered by the present invention is a three step baking process that comprises pre and immediate post baking cooking fat applications.

By dividing the claimed process into separate process steps, ignoring the significance of the claimed sequence of steps and selecting only a portion of the claimed process at a time, the Examiner ignores the invention as a whole. The invention as whole, embraces the structure, its properties and the problem it solves. (*In Re Wright* 6 USPQ2d 1959, Fed. Cir. 1988.) The Examiner must consider "all the evidence of the properties of the claimed invention as a whole, compared with those of the prior art". (*In Re Dillon*, 16 USPQ2d 1897 Fed. Cir. 1990.) This the Examiner has failed to do.

**(2) The claimed invention contains steps/elements that are neither present nor suggested by the applied art.**

The following claimed steps are missing from the prior art cited by the Examiner;

- (a) Applying a cooking fat coating to a proven dough and
- (b) Applying a second coating of cooking fat to the baked proven dough while the dough is still warm from baking.

**(i) Lonergan et al do not teach the step of applying a cooking fat to a proven dough.**

It is the Examiner's position that the person skilled in the art would understand Lonergan et al. to teach applying a cooking fat to a proven yeast raised doughnut dough and baking the coated dough in a conventional oven, thereby replacing the frying step with a baking step, to obtain a doughnut that has the same taste and texture as a fried yeast raised doughnut.

Appellant does not agree with this understanding of the disclosure in Lonergan et al. Lonergan et al teach a process that achieves a twofold result in a single step. Lonergan et al show a process that simultaneously eliminates the need for proofing and creates a crisp dough such as would be created by straight frying. This is very significant because the person skilled in the art would immediately recognize that Lonergan et al do not suggest coating a proven dough with an edible cooking fat prior to baking.

The courts have explained that it is the understanding of the person skilled in the art that must be considered in establishing a *prima facie* case of obviousness, not the unskilled lay person. In *In Re Oetiker*, 24 USPQ2d 1443, Fed. Cir. 1992, Judge Nies writes:

*What would be obvious to one skilled in the art is a different question to what would be obvious to a layman. An artisan is likely to extract more than a layman from reading a reference.*

Appellant contends that the Examiner does not interpret the terms "proofing" and "proven dough" as the person skilled in the art would. Appellant also believes

the Examiner is wrong in not considering the full disclosure of Lonergan et al, including the teachings that relate to the increasing of the dough size and proofing occurring during the baking cycle. A reference must be considered for all it teaches, including disclosures that teach away from the invention (*Ashland Oil Inc. v. Delta Resins and Refractories Inc.* 227 USPQ 657, Fed. Cir. 1985). Had the Examiner done so, she would have recognized that Lonergan et al teach coating and baking an unproven dough and exclude proven dough from the disclosed process.

Lonergan et al states clearly and repeatedly throughout the description that his process of applying the specified glaze increases the size/geometry of the dough product thereby eliminating the need for proofing. (Increase Dough Size: Pg.3 Para 4,5/ Pg.4,Para1,2,4/ Pg.9.Para.2,4,5 Claim 29; eliminate Proofing Step: Pg.9, Para 2/ Pg.14, Para 5). To one skilled in the art, proofing is the approximate doubling in size of the dough due to the reaction of the yeast, flour and water to heat and humidity over a period of time. As clearly stated in the specification, page 2 lines 3-11, a proven dough is dough that has risen to about double its size and placed in a proving area where heat and humidity are added for up to 45 minutes. The specification specifically states "A reference to proven dough shall be interpreted accordingly."<sup>2</sup>

Increasing the dough size by definition eliminates the need to proof as one skilled in the art would readily recognize. Lonergan et al correctly teach that this happens because the high water content in the glaze (up to 90%) combined with the heat of the oven increases the size (geometry) of the yeast dough product. Therefore, one skilled in the art would not consider an additional proofing stage before baking in practicing the Lonergan et al process as this would over proof the product; over-proofing is an undesirable effect to be avoided. Over proofing should avoided as it creates what is known as a "wet" or "soggy" product that has spread

---

<sup>2</sup> This definition of proofing is not substantially different from the definition used in the art. Proofing dough is a process during which under controlled raised temperature and humidity conditions dough is allowed to rise. A fully proven dough typically has risen to double the original size and the dough bounces back when gently touched. (See any number of Internet cites discussing baking of yeast raised dough, including: Doughnut-Background, History, Raw Materials, The Manufacturing, Quality Control (<http://www.madehow.com>) or Vie de France Technical support/FAQ's (<http://www.viedefrance.com/content/techsupport.htm>).

too much and become misshapen. The person skilled in the art, therefore, would not have a reasonable expectation of success if he were to practice Lonergan et al using dough that has been previously proven.

Lonergan et al describe exactly what is included in the preparation of the uncooked dough (Pg. 5, 6). They specifically state, (Pg. 6), that the mixing times and speeds for mixing are known in conventional dough processing. These variations, Lonergan et al state, are readily determined by one skilled in the art using conventional processing technology. Nowhere in the detailed description of conventional dough preparation does Lonergan refer to proofing<sup>3</sup>. On the other hand, Lonergan et al do teach that one can increase the size of the dough without proofing by using the disclosed glaze on an uncooked dough and baking in an oven.

The Examiner, in arguing that Lonergan et al do indeed teach coating a proven dough prior to baking, relies on example 2 of Lonergan et al.

In Example 2 Lonergan et al state that the prepared dough is allowed to proof for about 10 minutes (Pg.12, Para 3). This is not, as one skilled in the art, would recognize, proofing but a commonly used step known in the art as "resting the yeast". It is an incorrect use of the term "proof" and does not describe what is taking place at that point in this Example. The dough in this Example is only allowed to combine and slightly ferment in this time; in the brief time and under the specified conditions given, it will certainly not come remotely close to doubling in size if it even increases at all, and therefore will not be recognized as "proven" dough by the person skilled in the art, defined in the specification, page 2, lines 3-11, and discussed in detail in page 6 lines 15-24<sup>4</sup>).

---

<sup>3</sup> It is noteworthy that even though Lonergan et al. provide extensive details on the different steps for the production of dough used in the disclosed process, there is no description of a proving step. To the contrary, in a later patent by the same inventors, U.S. patent No. 6,787,170 (Hereinafter Lonergan II), the inventors fully describe a proofing step, such step being essential to the process disclosed in Lonergan II. One may assume that had a proofing step been contemplated when practicing the process of Lonergan et al. a similar description would have been included.

<sup>4</sup> "After the mixing step the dough is left for a period of 30 to 40 minutes of bulk fermentation time during which time the dough rises, typically doubling in size. Once the dough has ripened, it is subjected to processing by a pastry break.

The Examiner's argument that proofing could have taken place before this stage is incorrect speculation. More important, Lonergan's examples 2, and 3 clearly indicate that the dough is frozen prior to baking. The person skilled in the art knows that proven dough cannot be frozen and then baked, or frozen, defrosted and then baked.

Yeast is a live organism and is significantly compromised by cold. It is very well known to one skilled in the art that you cannot freeze/refrigerate an already proven yeast dough without significantly compromising the final product. On page 9 last paragraph, (C. Method of Producing Baked Goods with Fried Characteristics and Enhanced Baked Product Geometry), Lonergan et al describe specifically that the glaze, which will increase the size of the dough product (which would have been achieved otherwise by proofing), can be applied to either fresh dough that is to be frozen, unbaked dough already frozen or a refrigerated dough product. As all of these applications of Lonergan's method require a freezing or refrigeration step it is clear to anyone skilled in the art that these dough formations have not been proofed. The "preparation" of the uncooked dough, if it contains yeast, does not and cannot include proofing if the dough is then frozen or refrigerated<sup>5</sup>.

Therefore, contrary to the Examiner's understanding, Lonergan et al, do not describe a proofing step and the person skilled in the art would know that Lonergan et process does not include, teach or suggest the claim step of coating the proven dough.

---

In the next process step, the dough is kneaded mechanically and then transferred to a first traveling table for shrinking where the tension is taken out of the dough to prevent shrinking of the product during subsequent processing. Then the dough is passed to a second traveling table (the cutting table) where the dough passes under a sharp roller for cutting into the required shape.

The shaped dough portions are then subjected to a proving step at 40-43°C (105 to 110 °F) for 30 to 50 minutes with 55 to 60% relative humidity...".

<sup>5</sup> Supermarkets around the world want this type of product but it doesn't exist. It is the "Holy Grail" of the food industry. The frozen bread, rolls and other frozen yeast raised dough products for sale have been proofed and then part-baked prior to freezing. The part baking sets the dough structure of the product so that it can be frozen and then baked to completion at a later stage. Without the part-baking step the dough structure is not set and the proven product will be ruined by freezing.

Lonergan et al also do not suggest or teach a second application of a cooking fat to the still warm dough following baking. To fill in this deficiency the Examiner reaches to Averbach.

(ii) Averbach does not teach applying a second coating of cooking fat to the baked proven dough while the dough is still warm from baking.

Averbach teaches placing a continuous moisture barrier on a doughnut, including a yeast-raised doughnut, the moisture barrier comprising an edible oil in combination with an edible, tasteless wax, prior to coating the doughnut with a top coating such as icing etc. in order to increase shelf life of doughnuts. Averbach makes it quite clear that the disclosed process does not alter the taste/texture of the doughnut on which the disclosed glazed is applied. (Column 9, lines 13-17).

Averbach teaches applying the disclosed glaze to the fully cooked doughnut to prevent moisture from escaping, thereby increasing product shelf life. The Averbach process is applied to a conventionally fried yeast raised doughnut and could be applied to a yeast raised doughnut prepared according to the present process following the application of the second cooking fat coating. Averbach teaches a freshness preservation post cooking step, not a process step that is a substitute for the steps required to cook the present yeast raised doughnut so as to achieve the desired fried texture according to the present invention.

Averbach does not disclose or teach any specific process parameters for making the doughnuts, except to state in column 8 lines 63 to 68 that *"Doughnuts made from a yeast-raised are used since these are usually the base for 'honey dipped' doughnuts. The molten fat solution is maintained at 150° F. and the doughnut is immersed in the melt and withdrawn immediately."*

This statement does not teach a specific step of " ... applying a second coating comprising a second cooking fat to said baked proven dough mixture while said baked proven dough mixture is still warm from said baking step to form said yeast raised doughnut" as claimed in the present invention.

A complete review of Averbach shows that Averbach nowhere suggests that the coating must be applied while the dough is warm. Averbach's only restriction is

that the coating solution be applied to a finished doughnut and that the coating solution, not the doughnut, be above a certain temperature.

The Examiner argues that *"It would have been obvious to one skilled in the art to apply the barrier coating as the doughnuts exist (sic) the oven to keep the process continuous and also the coating will easily melt into the surface of the dough while the doughnuts are still warm. The time of application is a result-effective variable which is within the determination of one skilled in the art. For example, in a continuous process, one would not leave off applying the coating after the doughnuts exist (sic) the oven because that will break the continuity of the process and cause delay in the production process"* (See Office Action dated 10/31/2005.)

This argument is unsupported by the record and is speculative. It is also technically wrong.

Speculative arguments cannot be used to determine patentability. In *In Re Thrift*, 63 USPQ2d, 2002, Fed. Cir. 2002 the court explained that with respect to core findings in a determination of patentability the Examiner cannot simply reach conclusions based on her own understanding or experience, or on her own assessment of what would be basic knowledge or common sense. The Examiner must point to some concrete evidence in the record in support of such findings.

The speculation is also technically wrong. The objective of Averbach is to produce a water impermeable continuous coating on the surface of the doughnut, encasing and sealing the doughnut. Averbach uses a wax/oil glaze to achieve this result. Averbach is silent regarding the temperature of the doughnut surface when the glaze is applied, therefore, the reasonable assumption is that the glaze is applied in the manner known in the art for applying moisture barrier glazes onto doughnut surfaces.

If the glaze is applied while the doughnut surface is hot, as the Examiner suggests, the glaze will melt and penetrate the doughnut mass, again as suggested by the Examiner. Averbach's objective, however, is not penetration of the glaze into the doughnut mass but creation of a continuous shielding layer on the doughnut surface; furthermore, if one's objective is not to change the texture and taste of the



doughnut, one would prefer to limit the amount of material deposited thereon<sup>6</sup>. To do this the doughnut surface must be cool enough for the glaze to coalesce on the surface and not penetrate in the doughnut mass.

This is actually taught in the prior art. U.S. Patent serial number 4,293,572, hereinafter Silva et al, discloses a composition and process for applying a moisture barrier on the surface of a doughnut including a yeast raised doughnut. Silva et al, beginning in the last paragraph in column 6 and continuing in column 7, explains:

*"The surface temperature of the doughnut at the time of the application of the coating should be between 90° and 100°F. so that the coating material will set substantially rapidly but will not penetrate too deeply into the surface of the donut, while producing a thin uniform coating which does not interfere with the eating characteristics of the donut." (Emphasis added.)*

This point was presented to the Examiner during the interview and again in Appellant's response to the final office action, filed on February 21, 2006.

In the advisory action dated 03/09/2006, the Examiner rejects the teachings of Silva et al on the grounds that the composition disclosed by Averbach is different from the composition disclosed by Silva et al. and therefore the Silva et al teachings are irrelevant. Yet, both compositions contain oil and both have the same objectives. Silva et al, the only evidence on record on the question of when should the barrier composition be applied and under what conditions, directly contradicts the Examiner's speculative and unsupported conclusions as to how the Averbach barrier would be applied by the person skilled in the art.

In the absence of any evidence why the Averbach coating would be applied while the doughnut is still warm from baking, the person skilled in the art would know to apply such coating according to the practice in this art field, i.e. as taught by Silva et al. and would understand that applying the coating while the doughnut is warm as suggested by the Examiner defeats the objective of Averbach.

---

<sup>6</sup> Averbach, column 2 lines 1-3.

Averbach lacks an element of the claimed invention, specifically that the second fat application occurs while the doughnut is still warm from the baking cycle, and there is no evidence to suggest that such step is obvious and does not support a *prima facie* case of obviousness.

**(3) Motivation to combine the references is absent in the references and can only be found in the present invention.**

A proper combination of references requires that there is an incentive within the references themselves for the proposed combination. (*In Re Bond*, 15 USPQ2d 1566, Fed. Cir. 1990). Thus the Examiner erred in rejecting the claimed invention as an obvious combination of the teachings of Lonergan et al and Averbach because neither provides a teaching, suggestion or incentive supporting the combination. It is not obvious to combine the teachings of prior art for any purpose they may be combined, in order to defeat patentability of the Appellant's new process and to consider irrelevant the fact that the claimed process is for a different purpose and has steps that are not suggested by the applied art, or that it results in a product different from the product that would result from the proposed combination. (*In Re Dow Chemical Co.* 5 USPQ2d 1529, Fed. Cir. 1988.)

In the present instance the Examiner proposes the combination because both references address doughnut manufacturing and each shows some steps that when taken individually and out of context are similar to the claimed step. Lonergan et al. contains steps including a pre-bake application of a cooking fat onto dough which may be doughnut dough and Averbach shows the application of an edible fat onto the surface of a cooked yeast raised doughnut.

However, as the Federal Circuit explained in *Northern Telecom, Inc. v. Datapoint Corp.*, 15 USPQ2d 1321, in 1990, it is insufficient that the prior art disclosed the components of the patented device, (here: process) either separately or used in other combinations; there must be some teaching, suggestion, or incentive to make the combination made by the inventor.

Such teaching, suggestion, or incentive is absent here. The person skilled in the art would shy away from combining the teachings of Averbach with the teachings

of Lonergan et al because such combination would be the direct opposite of what would be desired following the Lonergan et al procedure.

Lonergan et al teach a glaze that contains a substantial amount of water. Due to the very large amounts of water added to the yeast raised dough following the Lonergan et al disclosed glaze application, the product would be what is known to one skilled in the art as a "wet" or "soggy" product<sup>7</sup>. Far from looking for a method of preserving the water content in the baked dough, one would be looking to do just the opposite. At the very least one would leave the product to benefit from normal evaporation which would not occur with a complete moisture barrier such as that disclosed by Averbach. It would simply not be logical to one skilled in the art to add a further process step to Lonergan's process that will retain excess moisture in the doughnut<sup>8</sup>. Just the opposite would be true.

Therefore the only reason to combine the two references is based on the present invention which claims a pre and post bake application of a coating containing an edible fat. "However it is impermissible to use the claimed invention as an instruction manual or template to piece together the teachings of the prior art so that the claimed invention is rendered obvious....The Federal Circuit has previously stated that [o]ne cannot use hindsight to pick and choose among isolated disclosures in the prior art to deprecate the claimed invention.". (*In Re Fritch*, 23 USPQ2d 1780, Fed. Cir. 1992). The combination of Lonergan et al with Averbach must be rejected as lacking motivation to combine.

**B. Rejection of claims 2 and 15 under 35 U.S.A. § 103(a) under Lonergan et al in view of Averbach.**

Dependent claim 2 and independent claim 15 contain the additional limitation that the applied coating consists essentially of a cooking fat.

---

<sup>7</sup> See Lonergan II, the Background of the invention section, where Lonergan II state that the presence of water in the glaze applied to dough including doughnut dough, as taught by Lonergan et al., is undesirable, and should be eliminated in order to improve the fried qualities of the food product after baking.

<sup>8</sup> Averbach, column 2 lines 1-3.

Relying on section 2111.03 of the MPEP, the Examiner reasons that the term consists essentially of used in the claim is equivalent to the term "comprises" and does not help distinguish the prior art because the specification or claims lack a clear indication of what the basic and novel characteristics actually are, and that, if the Appellant "contends that additional materials in the prior art are excluded by the recitation of 'consisting essentially of', applicant has the burden of showing that the introduction of the additional components would materially change the characteristics of applicant's invention." (See 10/31/05 Office action, page 5 lines 1-6).

Appellant believes that he has in fact met that burden of proof, for the following reasons.

In page 7, lines 22-26 of the specification, appellant defines the term "consists essentially of" as follows: "As used herein, the term "consists essentially of cooking fat" as applied to a fat formulation indicates that the formulation consists only of fats or oils as described above in any common grade of purity."

Averbach teaches an oleaginous composition that includes an edible wax that does not change the texture and taste of the doughnut to which it is applied and rejects the use of an oil coating alone in column 2, lines 1-3 where it clearly states that "... (use of) oleaginous materials (fats and oils), it has been shown that, unless an undesirably thick coating is used, the barrier effect is ineffective".

Appellant's specification teaches that the application of the cooking fat composition used changes the taste and texture of the baked doughnut so that the doughnut tastes similar to the fried yeast raised doughnuts.

Both fried and baked (under the present process) doughnuts achieve their taste and texture when cooked without a sealing layer on their surface, in a process that permits free water movement to and from the dough during the cooking step. The effect of the beeswax in Averbach is to seal the doughnut. If the materials that render the Averbach composition effective such as beeswax are included in the claimed cooking fat spray composition, the uncooked doughnut dough will be sealed (as explained by Averbach) and moisture escape during the baking stage will be inhibited thereby resulting in a soggy doughnut, which is contrary to the objective of the present invention.

Appellant, therefore, has met his burden by pointing out that his composition excludes the use of an edible wax as taught by Averbach since such inclusion would appear to operate to defeat the objective of his invention, that is the change of the taste and texture of the doughnut dough.

Lonergan et al add a viscosity controlling substance in their coating composition. As explained in Lonergan et al, page 8 last paragraph and first two lines on top of page 9, "It is believed that it is the preselected viscosity of the glaze that retains the oil component of the glaze on the surface of the dough product. Specifically, the glaze of the present invention is of sufficient viscosity to retain the oil at the surface of the dough during baking. Thus the glaze of the present invention mimics the effects of frying during baking by maintaining excess heated oil on the surface of the dough during baking, so that the crust effectively 'fries' in the oven and produces a baked product with fried organoleptic quality, which mimics the taste and texture of fresh fried products."

However, the objective of the present invention is not to fry the dough, whether in a frying pan or in an oven, because frying results in the dough absorbing more fat than baking, thereby excluding the viscosity controlling additives taught by Lonergan et al. Again the inclusion of the viscosity control elements would appear to operate against the objective of the invention.

Finally, neither Lonergan et al nor Averbach indicate that the result obtained using their respective glaze compositions results in a low fat yeast raised doughnut. To paraphrase the court in *In Re De Lajarte*, 143 USPQ 256, 259 CCPA 1964, *in the total absence of evidence in the record to indicate that cooked dough prepared under the Lonergan et al process would have the desirable effect of reduced fat in a yeast raised doughnut and still maintain the same texture and taste as a fried doughnut, there is no justification for placing the burden on Appellant to conduct experiments to determine the taste, texture and fat content of yeast doughnuts prepared using either the Lonergan et al or the Averbach glaze. Appellant has shown that doughnuts produced by the disclosed process have novel properties, i.e. lower fat with similar taste and texture than doughnuts of the prior art.*

Appellant has shown that the term "consisting essentially of" used in claims 2 and 15 distinguishes over the cited art and request that this rejection of claims 2 and 15 be reversed.

**C. Rejection of claims 13, 14, 21 and 22 under 35 U.S.A. §103(a) under Lonergan et al in view of Averbach and in view of Loh et al.**

Claims 14, 21 and 22 are all dependent claims depending from claim 1 and 15 respectively, and as such include all of the limitations of such claims. However claims 13, 14, 21 and 22 include the further limitation that steam be applied to the baking dough during the baking cycle.

The Examiner rejects these claims on the grounds that the added limitation would be obvious in view of the disclosure in Loh et al.

Loh et al explicitly distinguish yeast raised doughnuts from cake doughnuts, and teach that cake doughnuts, as distinguished from yeast raised doughnuts may be produced by a process that employs steam during the baking cycle. Loh et al use the steam to prevent creation of a crusty surface on the cake doughnut during baking, a problem specific to a particular product, i.e. the cake doughnut.

The person skilled in the art would, therefore, not only not look to Loh et al for a process that makes baked yeast raised doughnut dough taste like fried dough, but, having read Loh et al, would avoid using steam as it would appear that the application of steam prevents the formation of a crusty surface and enhances the cake-like texture and taste of the dough rather than assist in providing a crisp, fried-like texture and taste as desired.

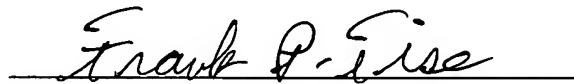
In the absence of any reasonable expectation of success, reversal of the Examiner's rejection of claims 13, 14, 21 and 22 is therefore believed proper.

**Conclusion.**

Because the Examiner has relied on art that is not proper prior art, that does not show all of the claimed inventive features and that provides no motivation for the proposed combination Appellant believes that a *prima facie* case of obviousness has

not been made and therefore the rejection of all claims should be reversed and the application with the claims as amended allowed to issue.

Respectfully submitted,



Costas S. Krikelis Reg. No. 28028

Frank P. Tise, Reg. No. 50,379

Attorney for Applicant

Agent for Applicant

Dated: October 16, 2006

P.O. Box 1596  
Wilmington, DE 19899  
(302) 778-2500

The Director is hereby authorized to charge or credit Deposit Account No. **18-0350** for any additional fees, or any underpayment or credit for overpayment in connection herewith.

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Mail Stop Appeal Brief Patents, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on: **October 16, 2006**

  
Gayle L. Bay

VIII. CLAIM APPENDIXCLAIMS

1. A process of manufacturing a yeast raised doughnut, the process comprising the following steps performed in the sequence shown:
  - (a) forming a proven dough mixture;
  - (b) applying a first coating comprising a first cooking fat to said proven dough mixture;
  - (c) baking said coated proven dough mixture to form a baked proven dough mixture; and
  - (d) applying a second coating comprising a second cooking fat to said baked proven dough mixture while said baked proven dough mixture is still warm from said baking step to form said yeast raised doughnut.
2. The process according to claim 1 wherein at least one of said first coating and said second coating consists essentially of a cooking fat or a combination of cooking fats.
3. The process according to claim 1 wherein said first and said second cooking fats consist essentially of a cooking fat or a combination of cooking fats.
4. The process according to claim 3 wherein said first and said second cooking fats are the same.
5. The process according to claim 1 wherein at least one of said first and said second coating comprises at least 80% by weight of a fat selected from the group consisting essentially of palm oil, rapeseed oil, soya or a combination thereof.
6. The process according to claim 1 wherein said first and said second cooking fats each comprise soya, palm oil, rapeseed oil, or a combination thereof.
7. The process of claim 1 wherein said first cooking fat is solid at room temperature and said step of applying a first coating to said proven dough mixture



comprises heating and spraying said first cooking fat onto said proven dough mixture at a temperature sufficient to melt said first cooking fat and insufficient to initiate any cooking of the proven dough mixture.

8. The process according to claim 7 wherein said second cooking fat is also solid at room temperature and the step of applying a second coating onto said baked proven dough with said second cooking fat comprises heating and spraying said second cooking fat onto said baked proven dough.

9. The process according to claim 8 wherein the first cooking fat is the same as the second cooking fat.

10. (Cancelled)

11. The process according to claim 8 wherein said step of spraying said second cooking fat formulation onto said baked proven dough is performed within 3 minutes following the step of baking said proven dough.

12. The process according to claim 1 wherein at least one of said first and second fats consists essentially of a solid vegetable shortening.

13. The process according to claim 1 wherein the step of baking said coated proven dough further comprises applying steam to said proven dough.

14. The process according to claim 13 wherein said steam is applied for one second for every minute of baking.

15. A low fat baked yeast raised doughnut produced by:

- (a) forming a proven dough mixture;
- (b) applying a first coating consisting essentially of a first cooking fat to said proven dough mixture;
- (c) baking said coated proven dough mixture to form a baked proven dough mixture; and

(d) applying a second coating consisting essentially of a second cooking fat to said baked proven dough mixture while said baked proven dough mixture is still warm from said baking step to form said low fat yeast raised doughnut.

16. The doughnut according to claim 15 wherein said first cooking fat is the same as the second cooking fat.

17. The doughnut according to claim 15 wherein said step of applying said second cooking fat onto said baked proven dough is performed by spraying said second cooking fat onto said baked proven dough within about 3 minutes following the step of baking said coated proven dough.

18. The doughnut according to claim 15 wherein said step of coating said second cooking fat onto said baked proven dough is performed by spraying said second cooking fat onto said baked proven dough within about 1 minute following the step of baking said coated proven dough.

19. The doughnut according to claim 15 wherein said at least one of said first and second fats consist essentially of a solid vegetable shortening.

20. The method according to claim 19 wherein said solid vegetable shortening is palm oil.

21. The doughnut according to claim 15 wherein the step of baking said coated proven dough comprises applying steam to said dough during at least a portion of said baking step.

22. The doughnut according to claim 21 wherein said steam is applied for one second for every minute of baking.

IX. EVIDENCE APPENDIX

The Appellant does not rely upon any additional evidence.

X. RELATED PROCEEDINGS APPENDIX

No proceedings other than this Appeal have transpired relating to the subject matter thereof, and no related decisions have been rendered by a court or the Board.